



**PATENT**  
**Docket No. 2656/2**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventors: **BRANDER, et al.**

Serial No.: **08/976,159**

Filing Date: **November 21, 1997**

For: **ENHANCED MATCHING  
APPARATUS AND METHOD  
FOR POST-TRADE  
PROCESSING AND  
SETTLEMENT OF  
SECURITIES TRANSACTIONS**

Group Art Unit: 2765

Examiner: **Romain Jeanty**

*Handwritten notes:*  
#5/10/99  
Dull  
5-21-99

Assistant Commissioner  
for Patents  
Washington D.C. 20231

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on

Date: 5/10/99

Signature: \_\_\_\_\_

*Caleb Pollack*  
Caleb Pollack

Reg. No. 37,500

GROUP 2700

99 MAY 20 AM 9:36

RECEIVED

**AMENDMENT UNDER 37 C.F.R. § 1.111**

SIR:

This amendment is submitted in response to the February 10, 1999 Office Action. Please amend this application as shown below.

**IN THE CLAIMS**

Please amend claims 1, 9, 12, 13, 15, 21, 22, 29, and 31 as shown below:

1. (Amended) A system for ~~[facilitating]~~ settlement of a securities trade by obtaining agreement as to the details of the trade among a broker, institution, agent and interested parties comprising:

*SLG*  
05/18/1999 ZABDALLA 00000111 110600 08976159  
01 FC:103 72.00 CH